

Annex C - Corporate Risk Register – as at 23 October 2018 SMB

Corporate Risks

| 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 | | | |
| 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>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> <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 SMB</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> <p><u>21 June 2018 PMB</u> A coordinated programme of apprenticeships recruitment, replenishment of promotional development pools for Crew through to Group Commander level, with the accompanying mandatory training requirements and progressing a small number of transferees in to balance experience is on track.</p> |
| | | | (5) | (5) | (25) | (H) | | | |
| | | | (3) | (5) | (15) | (H) | | | |
| | | | (4) | (5) | (20) | (H) | | | |
| | | | (3) | (5) | (15) | (H) | | | |
| | | | (5) | (4) | (20) | (H) | | | |
| | | Failure to discharge statutory duties. | (4) | (3) | (12) | (M) | | | |
| | | | (5) | (3) | (15) | (H) | | | |
| | | | (4) | (3) | (12) | (M) | | | |
| | | Loss of critical knowledge / skills / capacity /competency levels. | (5) | (3) | (15) | (H) | | | |
| | | | (4) | (3) | (12) | (M) | | | |
| | | | (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>the risk of losing operational staff at different levels continues, particularly with LFB who offer London weighting allowance. The position is being closely monitored and modelled into medium term workforce plans</p> <p>23 October 2018 SMB</p> <p>The recruitment plan for 2019 to refresh the workforce during a period of predicted peak retirements. Is approved. A fourth tranche of Fire Fighter Apprentices are planned for Q1 2019 20, supplemented by a small number of experienced transfers as required. The transferees numbers can flex depending on any LFB recruitment impacts and/or unplanned leavers.</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 | (4) | (4) | (16) | H | Proactive management of the MTFP is in force and is very closely aligned to workforce planning. | R | 13 February 2018 SMB 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. 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. Outcomes of national Firefighter pay negotiations are still unknown and present a significant risk to our budgetary position. 5 June 2018 SMB The Authority has not received any reassurance regarding the long-term viability of USAR grant funding. There is also no clarity as to the level of any pay-award, and whether or not amounts above |
| | | | (3) | (4) | (12) | M | | | |
| | | | (3) | (4) | (12) | M | 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. | | |
| | | | 4 | 4 | 16 | H | The Authority has responded to consultations and lobbied MPs to increase the referendum threshold for fire authorities to £12. | | |

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| | | <p>service provision would be required.</p> | | | | | | <p>1% will be funded centrally or not. Concerns around levels of funding and current uncertainty were raised with the Home Office during a conference call discussing 'Fire Risk and Demand'. There is currently a forecast budget deficit of £440k for 2019-20. If the level of Council Tax surpluses seen in previous years is forthcoming, and if the local business rates pool continues for a further year, the Authority could conceivably set a balanced budget for 2019-20 by restricting non-pay inflationary rises and not approving any other budget increases. Any other non-budgeted increases or overspends could be covered by reserves for one-year (although this would impact on future investment).</p> <p>After 2019-20 the Authority should have a better indication of future funding, as the outcomes of the upcoming Comprehensive Spending Review and Fair Funding Review will be published. Until then, the risk is to remain as 'Red'.</p> <p><u>18 September 2018 SMB</u></p> <p>In addition to the risks noted at 5 June 2018 SMB, further information has been received in relation to employers' contributions to the firefighter's pension scheme (a risk originally anticipated following the Budget in 2016). In a written statement to the House of Commons (on 6 September 2018) it was noted that 'early indications are that the amount employers pay towards the [unfunded pension] schemes will need to increase'. The Budget 2016 set out a reduction in the anticipated discount rate used to calculate employer contributions, but the latest statement indicates the reduction in the rate will be even</p> |
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| | | | | | | | | | <p>greater, which would lead to even higher employer contributions. The Authority was expecting an increase, but until full valuation results are published, it is not known whether the amount allowed for in the MTFP will be sufficient.</p> <p><u>23 October 2018 SMB</u></p> <p>Initial valuation reports indicate that the average employer contribution rate for the firefighter’s pension scheme will increase from 17.6% to 30.2% from 1 April 2019. The estimated additional cost to the Authority is £1.6m per year. For 2019-20 the Treasury will fund the majority of this amount, leaving a net increase of approximately £150k for the year. An amount greater than this had already been set aside following the announcement in the Budget 2016. No additional funding has been confirmed for 2020-21 and this will need to form part of the sector’s bid within the Comprehensive Spending Review process.</p> <p>The Home Office have commenced an engagement with NFCC on the future of USAR from 2024, when the current USAR assets reach the end of their expected operational life. Four proposed options range from no change through to a reduction in the total number of teams/ units by up to 36%. The effect of this could range from a total loss of Section 31 grant funding for the BFRS USAR capability, through the reduced funding for a scaled-back provision. This Service is engaged with the NFCC working group and will be sighted early on development. As the risk develops a range of responses will be raised and considered.</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) 2 | (3) 3 | (9) 6 | (M) L | | <p>5 April 2018 Plan B is now live and has replaced the Vodafone paging system from 1st April. The system is functioning well. One or two unforeseeable glitches have been found and have been fixed or fixes identified. It will serve adequately until we are able to go live with the App based mobilising system. We continue to liaise with RBFRS in the completion of the CoCo application for revising our Annex A certification. As this is an interim solution the risk remains at amber.</p> <p>13 February 2018 SMB: Maintain at amber RAG status pending resolution of Code of Connection issue.</p> <p>5 June 2018 SMB We still await the confirmation of the code of compliance permissions from the Home Office which will allow integration with the mobilising system at TVFCS. In the interim the opportunity to further develop the App with the provider has been taken. The SMS solution provided as a plan B is functioning well but has caused some restrictions in our ability to provide 2nd and 3rd line availability of appliances. This is due to configurations within TVFCS which would cause issues for our partner services.</p> <p>14 August SMB Good progress is being made towards implementation of a permanent solution is being made and the interim arrangement continues to function satisfactorily. It is therefore proposed that the score in relation to the probability of the risk crystallising is reduced to 2 resulting in an overall risk score of 6 (Green RAG status). Change to risk score agreed.</p> | |

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| <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, damage or destruction of data</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) 3 | (4) 4 | 16 12 | (H) M | | A | <p>24 Oct 17 SMB</p> <p>Updates to treatments and comments noted. However, it was agreed that the risk score should remain at its present level for the time being but kept under active review.</p> <p>1 February PMB Update</p> <p>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 with 9,500 business and technology executives from 122 countries, including 560 UK respondents.</p> <p>13 February 18 SMB</p> <p>Maintain RAG status at Red.</p> <p>21 June PMB Update</p> <p>The National Cyber Security Centre (a part of GCHQ) has stated that cyber-attacks have resulted in financial losses to business. The costs arise from the attack itself, the remediation and repairing reputational damage by regaining public trust. Attacks have also triggered declines in share prices and the sacking of senior and technical staff held to account for massive data breaches. The enforcement of the General Data Protection Regulation (GDPR) in May 2018 could, under certain</p> |

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| | | | | | | <ul style="list-style-type: none"> - disincentives to unauthorised access e.g. disciplinary action <p>4. Premises security:</p> <ul style="list-style-type: none"> - 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>circumstances, lead to severe fines for organisations which fail to prevent data breaches, which result in a risk to the rights and freedoms of individuals. The increase in availability of Distribute Denial of Services (DDoS)-for-hire services has led to an increase in Distribute Denial of Services attack attempts. There was a 91% increase between July and September 2017 compared to the first quarter of 2017".</p> <p>With no decline in the threats from external sources and adjustment issues to meet the requirements of GDPR information security continues to be very high risk.</p> <p><u>14 August 18 SMB</u></p> <p>Following a review of the adequacy of the controls and mitigations in respect of this risk it was agreed that the probability score could be reduced to 3 resulting in an overall score of 12 and a reduction in the RAG status from red to amber.</p> <p><u>23 October 18 SMB</u></p> <p>SMB discussed a recent data breach that had occurred at Sodexo who provide an online employee benefits facility for Authority employees resulting in employees who have joined the scheme being targeted with spam emails. Also, a report of a recent break-in at a fire station was received. SMB noted the steps being taken to investigate these incidents and identify any additional measures that can be taken to avoid similar in the future. It was agreed that neither incident was at a level that would require an immediate change to the risk score at this point but that this would be reviewed again in light of any further findings.</p> <p>Earlier this year a breach of one of our servers not connected to the network, was swiftly eradicated and a report was made to "Action Fraud" (part of the National Cyber Crime Unit). To mitigate further attempts on any of our systems we have been</p> |
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| | | | | | | | | | | working in collaboration with the Police Cyber Security Advisor of the South East Regional Organised Crime Unit to deliver cyber training (free of charge) to the Strategic Management Board. Future events will arranged for other employee groups. |
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