

Annex C - Corporate Risk Register – as at 5 November 2019

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. 	R	<p><u>3 October 2018 SMB</u> 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> <p><u>12 February 2019 SMB</u> Apprenticeships recruitment programme completed with 16 Fire Fighter apprentices to be in place by end March 2019. Development Centre programme to ensure talent pipeline, succession requirements and resilience in place scheduled – 29 April 2019 On-Call attraction programme underway utilising the recently launched national awareness campaign.</p> <p><u>16 April 2019 SMB</u> The outcome of the recent FBU ballot on the Employer's pay offer was discussed and noted. No change to the current risk assessment and RAG status was recommended at this time albeit that a watching brief will be maintained to ascertain any potential risk of industrial action arising.</p> <p><u>14 May 2019 SMB</u> No change to risk score. However, this will be reviewed again in light of any decisions taken at the upcoming FBU conference following the outcome of the ballot in which FBU members rejected the employer's pay offer.</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)			
			(5)	(3)	(15)	(H)			
			(3)	(3)	(9)	(M)			
			(4)	(3)	(12)	(M)			
			(4)	(4)	(16)	H			

Annex C - Corporate Risk Register – as at 5 November 2019

							<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>2 July 2019 SMB</u> The FBU have put employers 'on notice' of a potential trade dispute with the possibility of industrial action following their members' rejection of a pay proposal from the employers. – 58% of FBU members took part in the ballot to reject the offer.</p> <p>The Government's application to appeal the Court of Appeal ruling that the transition arrangements for the 2015 Firefighters Pension Scheme were unlawful was refused on 27 June 2019. The case will now be remitted back to the employment tribunal for remedy.</p> <p>This decision will impact on retirement dates and staff retention. Workforce plan modelling is underway covering a range of potential scenarios. These scenarios will be refined as the remedy is developed.</p> <p><u>27 August 2019 Informal SMB</u> Early analysis of the potential impact of the pensions decision indicates that senior and middle ranking officers are likely to be most affected. In light of this the risk has been elevated to red RAG status (with a 4 x 4 = 16 probability and impact score).</p> <p><u>17 September 2019 SMB</u> No changes to risk score / RAG status recommended.</p> <p><u>22 October 2019 SMB</u> As the transitional provisions transferring members into the 2015 Firefighters' Pension Scheme were found to be unlawful, a 'remedies hearing' has been scheduled for 18 December 2019. Any remedy awarded to scheme members is likely to have a significant impact on current assumptions about retirement profiles and succession pipelines.</p>
--	--	--	--	--	--	--	---	--

Annex C - Corporate Risk Register – as at 5 November 2019

Risk Description	Resp.	Consequences if Untreated Risk Occurs	Risk Score (Former) / New			Risk Level	Current Treatment	RAG	Comments / Further Treatment Proposed
			P	I	Σ				
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 then 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 £12.	R	<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> <p><u>12 February 2019 SMB</u></p> <p>The Executive Committee has recommended a balanced budget for 2019-20 to 2021-22 for</p>
			(3)	(4)	(12)	M			
			(3)	(4)	(12)	M			
			4	4	16	H			

Annex C - Corporate Risk Register – as at 5 November 2019

									<p>approval by the Fire Authority on 13 February 2019. This has been achieved by significantly reducing the Revenue Contribution to Capital, which would leave the Authority with no capital reserves by the end of 2024-25.</p> <p>This is not sustainable in the longer-term, and the Authority will continue to make the case for additional funding as part of the upcoming Comprehensive Spending Review.</p> <p>At its meeting on 13 February 2019, the Authority is also being recommended to discuss the implications of holding a referendum to increase Council Tax above the 3% threshold in a future year.</p> <p><u>14 May 2019 SMB</u></p> <p>No change to risk score. However, uncertainty remains around USAR grant, Pensions and the likely outcome of the comprehensive spending review.</p> <p><u>2 July 2019 SMB</u></p> <p>On 27 June 2019 it was announced that the Government’s application to appeal the Court of Appeal ruling that the transition arrangements for the 2015 Firefighters Pension Scheme were unlawful, has been refused. The case will now be remitted back to the employment tribunal for remedy. Although the initial cost of remedy is expected to be met by Government, it is likely that it will mean longer-term increases in the employer contributions that will need to be paid for by the Authority.</p> <p><u>17 September 2019 SMB</u></p> <p>Spending Round 2019 (SR19) was announced by the Chancellor on 4 September 2019. Prior to SR2019 we were forecasting that real-terms central</p>
--	--	--	--	--	--	--	--	--	--

Annex C - Corporate Risk Register – as at 5 November 2019

								<p>government funding would continue to fall over the period of this PSP. Since SR19 was announced we have updated our forecasts to show this now being flat in real-terms.</p> <p>However, SR19 only covers a one-year time period, and future Comprehensive Spending Reviews may require these forecasts to be revisited. Also, despite the effect of efficiency measures already taken during the period 2015-2020, we continue to face other financial uncertainties that potentially require us to find additional funding and/or make further savings. These uncertainties arise from: Increases in the amount that employers are required to contribute to the Firefighters’ Pension Scheme due to changes made by the Government; uncertainty over long-term funding that we receive from Government to provide Urban Search and Rescue as part of national resilience arrangements to deal with major civil emergencies such as terrorist attacks; and changes to the allocation of business rate receipts to local authorities.</p> <p><u>22 October 2019 SMB</u> No changes to risk score / RAG status recommended.</p>
--	--	--	--	--	--	--	--	---

Annex C - Corporate Risk Register – as at 5 November 2019

Risk Description	Resp.	Consequences if Untreated Risk Occurs	Risk Score (Former) / New			Risk Level	Current Treatment	RAG	Comments / Further Treatment Proposed
			P	I	Σ				
<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	<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:</p> <p>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> <p>3. Policies / procedure:</p> <p>Comprehensive review and amendment of the retention and disposal schedules / Information Asset Registers,</p> <ul style="list-style-type: none"> 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>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; 	A	<p>11 June 2019 SMB</p> <p>The Head of Service Development advised that a targeted attempt to access the Authority's systems had been identified. These were frustrated by current defences but a review of password security has been instigated to provide additional assurance.</p> <p>17 September 2019 SMB</p> <p>The National Cyber Security Centre weekly threat report advised that security breaches against service desk/ support lines lead to an increase in phishing scams. GB to investigate the availability of training packages for "mock" phishing scams to help to raise awareness amongst employees.</p> <p>Not all departments have a retention and disposal schedule in place. This is a legal requirement and also helps the Authority to identify all of the information types it holds and enables an audit of information to ensure security arrangements including timely destruction.</p> <p>22 October 2019 SMB</p> <p>The South East Regional Organised Crime Unit (SEROUCU) cyber training to be reviewed with a view to rolling it out to a large group of employees.</p>

Annex C - Corporate Risk Register – as at 5 November 2019

							<p>- Premises Security Group re-established to meet on a three monthly basis aligned to the PMB meeting schedule.</p> <p>5. Training: The biannual “Responsible for Information” training will be supplemented by the National Cyber Security Centre’s new e-learning package 'Top Tips For Staff' which will be built into the Heat training platform as a mandatory biannual package.</p>	
--	--	--	--	--	--	--	--	--

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				
Risk of physical disruption to Service operations due to UK withdrawal from the EU without a formal exit agreement (the so-called ‘No Deal Brexit’.	Heads of Service Development and Delivery.	<p>Disruption to procurement processes leading to potential shortages of equipment or consumables.</p> <p>Disruption to transportation delaying personnel and or vehicle movements.</p>	4	2	8	M	<p>The likely impact of short-term disruption to supplies of equipment to the Service is considered to be low given that: most Authority procurement contracts are with UK based suppliers; and, the relatively long timescales for procurement within the sector. Advice and guidance from the NFCC and Fire Industries Association in relation to this risk is monitored and acted on as required.</p> <p>The risk of transport disruption is considered relatively low due to absence of ports and international airports within the area served by the Authority. Authority officers are actively involved in in TVLRF risk evaluation and mitigation planning for the wider Thames Valley area.</p>	M	<p><u>16 April 2019 SMB</u> On 5th April 2019) Prime Minister Theresa May wrote to the EU to request another short extension until the 30th June. It is unlikely the EU will provide a short extension, but could provide a ‘flex-tension’ where a longer date is given up to March 2020 but at the point of a deal (any point earlier) the exit could happen. The Prime Minister has agreed if the UK were in the EU on the 23rd May, MEP elections would take place. MHCLG have advised to still plan for a 12th April 2019 no deal until it is off the table.</p> <p><u>25 April 2019 PMB</u> EU response to Prime Minister’s request was to offer an extension to 31 October 2019. Awaiting confirmation and clarification of new exit arrangements and date.</p> <p><u>14 May 2019 SMB</u> No change to risk score pending clarification of likely EU exit scenario.</p>

